

# BCP/COOP

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# Introductions

## Clarence Elliott

Senior Consultant, MBCP  
Business to Business Solutions, LLC  
12101 Sterlingwood Ct., Suite 300  
Richmond, VA 23233  
804.370.9535  
celliott@b2bsol.com

## Brittany Schaal

Emergency Management Planner  
Virginia Department of Emergency  
Management  
10501 Trade Court  
Richmond, VA 23235  
804.897.6500 x6523  
Brittany.Schaal@vdem.virginia.gov

# Agenda

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- Business Continuity Planning
- Continuity of Operations Planning
- Biggest Issues Faced in Plan Development

# Emergency Planning: A National Security Priority

“Our cities must have clear and up-to-date plans for responding to natural disasters, disease outbreaks, or terrorist attack...for evacuating large numbers of people in an emergency...and for providing the food, water, and security they would need.”

“I consider detailed emergency planning to be a national security priority.”

President Bush  
New Orleans, September 15, 2005

# Potential Threats

Natural	Both	Man-Made
Ice Storm Severe Winds Tornado Hurricane Earthquake	Flood Fire Disease	Internet Virus Cyber Attack Agro-terrorism Chemical Explosion Water Poisoning Radiological Bio-Terrorism

# Definitions

- **Business Continuity Planning (BCP):** The effort to provide procedures to resume or restore critical business processes following a disruption.
- **Continuity of Operations Planning (COOP):** The effort to assure that the capability exists to continue essential agency functions across a wide range of potential emergencies. Essentially, the process of maintaining the business of government.
- **Continuity of Government (COG):** Preservation of the institution of government. Maintaining leadership, through succession of leadership, delegation of authority and active command and control. The lack of leadership can lead to anarchy or unlawful assumption of leadership.

# BCP vs. COOP

- Terminology - BCP is used in the private sector, while COOP is used in the public sector
- Both ensure the continuous performance of critical/essential business functions during emergencies
- Both ensure the safety of employees
- Both protect vital equipment, records and other assets
- Both reduce disruption to operations
- Both minimize damage and losses
- Both help achieve an orderly recovery from emergency operations
- Both identify relocation sites and ensure operational and managerial requirements are met before an emergency occurs

# 10 Critical Elements of a Plan

- Essential Functions
- Delegations of Authority
- Orders of Succession
- Alternate Facilities
- Interoperable Communications
- Vital Records, Systems and Equipment
- Human Capital Management
- Tests, Training and Exercises
- Devolution
- Reconstitution



# Essential Functions

- Those functions that enable an business/organization to provide vital services, exercise civil authority, maintain the safety of the general public and sustain the industrial and economic base.
- Based on the business's/agency's customers and needs.
- The foundation for BCP/COOP programs and plans.

# Delegations of Authority

- Specify who is authorized to make decisions or act on behalf of the CEO/department or agency head and other key individuals.
- Ensures rapid response to an emergency situation.

# Orders of Succession

- Provisions for the assumption of senior leadership positions during an emergency when the incumbents are unable or unavailable to execute their duties.
- Not limited solely to management positions.

# Alternate Facilities

- A location, other than the normal facility, used to conduct critical functions/and or process data in the event that access to the primary facility is denied or the primary facility is damaged.
- The alternate site provides the capability to perform minimum essential functions until normal operations can be resumed.

# Interoperable Communications

- Provide the capability to perform essential functions, in conjunction with other agencies and organizations, until normal operations can resume.
- Interoperability is the ability of a system or a product to work with other systems or products without special effort on the part of the user.

# Vital Records

- Records that regardless of media, if damaged or destroyed would disrupt operations and information flow, cause considerable inconvenience and require replacement or recreation at a substantial expense.
- A system or piece of equipment is critical if it is essential to emergency operations and/or to the continuance of critical processes and services during a crisis for a minimum of fourteen days.

# Human Capital Management

- The process of acquiring, optimizing and retaining the best talent by implementing processes and systems matched to the organization's underlying mission.
- Critical in ensuring the flexibility required of key personnel during these times of crisis.

# Tests, Training and Exercises

- All staff must be educated on their role in BCP/COOP plan execution.
- Back-up systems and processes must be tested for effectiveness.
- Exercises that simulate various disruptions and practice BCP/COOP plan execution must be conducted.



# Devolution

- The capability to transfer statutory authority and responsibility for critical/essential functions from an business's/agency's primary operating staff and facilities to other employees and facilities.
- It is also the ability to sustain that operational capability for an extended period.

# Reconstitution

- The process by which business/agency personnel resume normal agency operations from the original or a replacement primary facility.
- Conducted after the emergency or disruption ceases and is unlikely to resume.

# Biggest Issues Faced in Plan Development

- Lack of Management/Organization Commitment
- Inexperienced Planners
- Inadequate Risk Assessment/Business Impact Analysis
- Poorly defined priorities for recovery
- Poorly defined strategies for recovery
- Deficient Emergency Response Plans
- Response/Recovery Teams not well defined
- Plans not properly exercised
- Plans not maintained!

# BC/COOP Management Program

An ongoing management and governance process, supported by senior management, and resourced to ensure that the necessary steps are taken to identify the impact of potential losses, maintain viable recovery strategies and plans, and ensure continuity of products/services, through exercising, rehearsal, testing, training, maintenance and assurance.

*Source: Disaster Recovery Journal/Disaster Recovery Institute*

# Lack of Management/Organization Commitment

- Cover Benefits, Goals and Objectives; get buy-in.
- Agree on Resources, General Schedule
- Establish the need for a BCP/COOP including organizing and managing the project.
- This includes defining the scope, communicating the need for a BCP/COOP, developing budget requirements, identifying Planning Teams and Action Plans, and developing project management/documentation requirements.

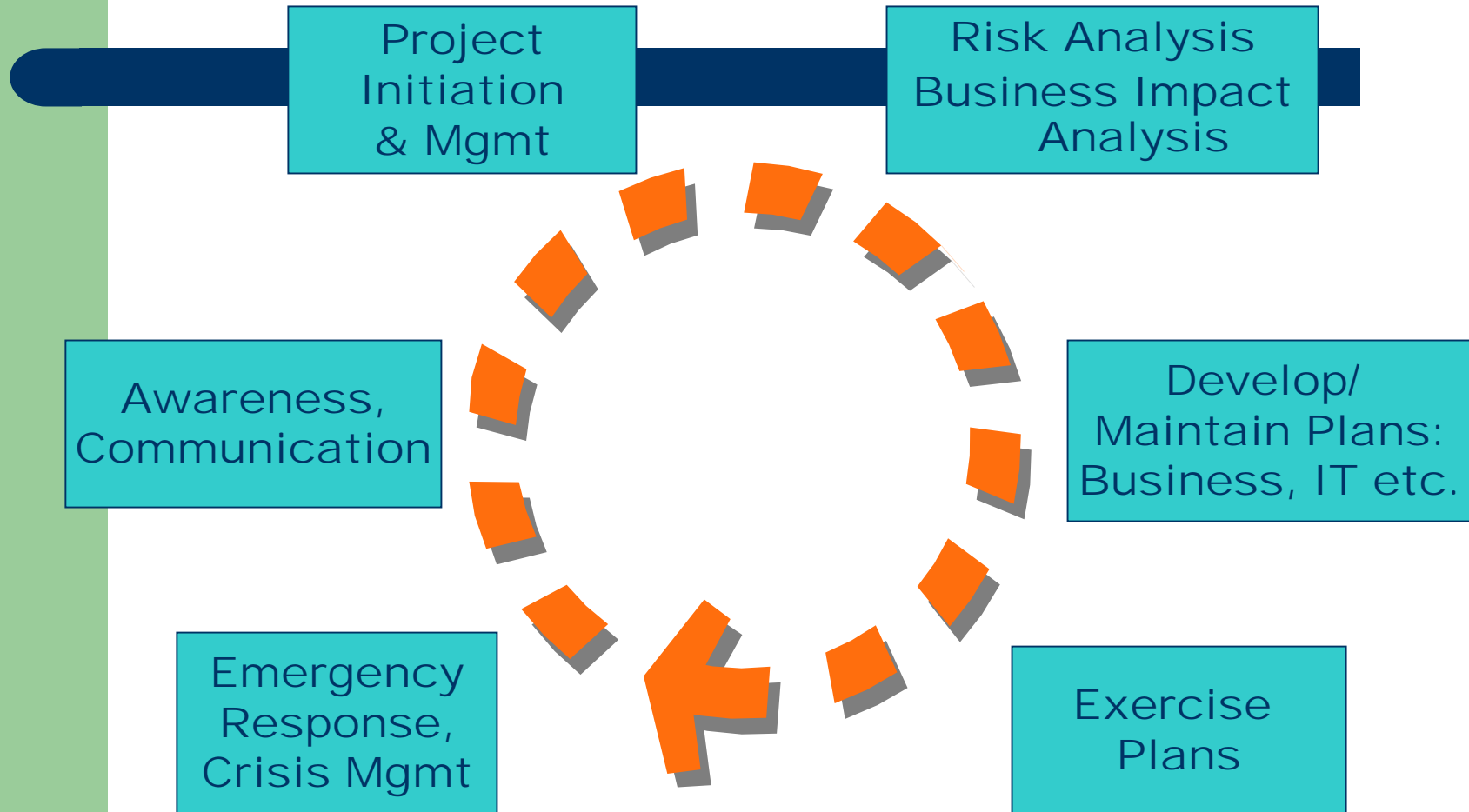
# Inexperienced Planners?

Does your planner have skills in each of the following areas:

1. Project Management, Management Support
2. Risk Assessment
3. Business Impact Analysis
4. Business Continuity/Continuity of Operations Strategies
5. Emergency Response and Operations
6. Business Continuity/Continuity of Operations Plans, IT DR Plan
7. Awareness and Training Programs
8. Maintaining and Exercising Plans
9. Public Relations, Crisis Management
10. Coordination with public authorities

At some point throughout the planning process, each of these skills will be required

# BCP is an ongoing process cycle



# Consider as Building Blocks in Sequence

PROJECT INITIATION  
AND MANAGEMENT

RISK ANALYSIS

BUSINESS IMPACT  
ANALYSIS

BUSINESS CONTINUITY  
STRATEGIES

BUSINESS CONTINUITY  
PLANS, IT PLAN, CRISIS  
MGMT PLAN,  
EMERGENCY RESPONSE  
PLANS

MAINTAIN AND TEST  
PLANS

=

TOTAL QUALITY  
BUSINESS  
CONTINUITY PLAN!



# Inadequate Risk Assessment/BIA

## Risk Assessment – often confused with BIA:

- A site-specific “threats and hazards” assessment
- Need to Conduct Assessment/Survey for every Site (locality/building)
- Utilize geographical risk information, public info. available (e.g., VDEM)
- You must Verify results with business/organization

## Business Impact Analysis:

- An assessment of business functions; quantifies financial and operational impacts of disruptions, and recovery priorities.
- Customize BIA Survey (don’t just use a canned version)
- Keep survey short/concise, yet complete (cover all areas)
- Collect data for Business Continuity Plans as part of the BIA
- Verify results, present findings to management, set stage for next efforts

# Poorly Defined Recovery Priorities

The Business Impact Analysis should quantify and qualify impacts. This must be the basis for priorities!  
This includes prioritizing the business functions and records, prioritizing technical (IT) recovery, and determining recovery time objectives (RTO) and resource requirements. These are often missing or incomplete.

- Priorities must be fully reviewed and agreed to in advance!

# Poorly Defined Recovery Strategies

- You must determine alternative business recovery operating strategies to be used to maintain the organization's critical functions. Plans often overlook the need for different strategies for workspace and IT recovery.
- This includes identifying recovery strategy requirements; assessing suitability of alternative strategies; preparing cost/benefit analysis of recovery strategies; and selecting alternate site(s) and off-site storage.
- Recovery strategies for alternate sites might include another pre-equipped site, an empty building, or reciprocal agreement. You should evaluate all options!

# Deficient Emergency Response Plans

An Emergency Response Plan should include:

- o Types of Emergencies
- o Mitigation/Prevention
- o Alarms/Notification
- o Weather/other emergency information sources
- o Floor Wardens – responsibilities, check lists
- o Building Floor Plans
- o Evacuation, Assembly, Head Count
- o Internal and External Safe Zones
- o Emergency Response Team(s)
- o Emergency Operations Center
- o Communications with Employees and Media
- o Interaction with Public Emergency Officials: Fire, Rescue, Police, Emergency Management
- o Emergency Contact Numbers – Public Emergency Officials
- o Access to facilities after disaster (credentials etc.)
- o Connection to Crisis Management Plan
- o Connection to Business Continuity Plan
- o Restoration of Facilities
- o Training/Awareness of Employees
- o Testing

# Response/Recovery Teams Not Well Defined

- Teams should be defined for Preparation/Planning, Recovery, and Restoration.
- Teams should have defined leaders and members in all roles.
- Teams should have alternates defined for all key roles.
- Teams should have all forms of contact information defined (work, home, mobile, etc.) for all members.
- Team responsibilities should be “logical” and do-able!

# Plans Not Properly Exercised

- Pre-plan, coordinate, evaluate, test and exercise the Plan, and document the results. Develop processes to maintain the currency of the Plan in accordance with the strategic direction of the organization.
- This includes determining exercise requirements, developing scenarios, establishing evaluation criteria, defining exercising objectives, preparing post-exercise reporting, defining a plan maintenance schedule, maintaining the plan, and developing change control procedures.
- Include “desk-top” as well as full-scale exercises.

# Plans Not Maintained

- Develop processes to maintain the currency of the Plan in accordance with the organization, local, state and federal regulations.
- Keep all aspects of the plan current!

# Let's Review

- 10 Critical Elements of a BCP/COOP Plan:
  - Essential Functions
  - Delegations of Authority
  - Orders of Succession
  - Alternate Facilities
  - Interoperable Communications
  - Vital Records
  - Human Capital Management
  - Tests, Training and Exercises
  - Devolution
  - Reconstitution



# For More Information

- Federal Preparedness Circular (FPC) 65
- FEMA, Introduction to State and Local EOP Planning Guidance, August 2002
- FEMA Independent Study Program: IS-547 Introduction to Continuity of Operations (COOP)
- FEMA Independent Study Program: IS-546 Continuity of Operations (COOP) Awareness Course
- FEMA Interim State/Local COOP Planning Guidance, May 2004

# Commonwealth of Virginia Guidance

## VDEM COOP Tool Kit

[www.vaemergency.com](http://www.vaemergency.com)



# Questions?

